

ARNOLD SCHWARZENEGGER
GOVERNOR

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SECRETARY



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CALIFORNIA EMERGENCY MANAGEMENT AGENCY

July 8, 2010

Suzanne E. Aebischer
Executive Director
House of Ruth, Inc.
P.O. Box 459
Claremont, CA 91711

Subject: Site Visit Report
Award# AT09061256

Dear Ms. Aebischer:

On June 15 – 16, 2010, I conducted a site visit of the Child Abuse Treatment (CHAT) Program operated by House of Ruth, Inc. Thank you for your staff's time and cooperation during the site visit. It was a pleasure meeting your staff who supports the CHAT Program. Everyone I met during the site visit was friendly, helpful, and very professional.

During the site visit, we discussed California Emergency Management Agency's requirements for the program, the goals and objectives, the match requirements, the source documentation, and the reporting requirements. As a result of the visit, I have found the project in most areas to be in compliance and functioning within the parameters established in the Grant Award Agreement. However, there were some findings (out-of-compliance) which require corrective actions. Please send me a corrective action letter by August 6, 2010 addressing the following topics:

Overall, the Administrative Review appears to be satisfactory. However, there are two administrative issues needing to be addressed:

1. House of Ruth, Inc. does not have an internal plan to disseminate the EEO Plan and the EEO Policy to all employees, volunteers, clients and to the general public.

Actions Needed: House of Ruth, Inc. needs to develop and have its Board of Directors approve a plan to disseminate the EEO Plan and the EEO Policy to all employees, volunteers, clients and to the general public. At the time of the site visit, I provided a sample "Dissemination of EEO Plan (EEOP) and EEO Policy" (attachment 10A) to Jean Leavy. *Indicate in the corrective action letter how this will be resolved.*

2. House of Ruth, Inc. staff believe approximately \$15,000.00 will be unspent at the end of the current 2009/10 grant period ending September 30, 2010 because of a 10% across the board furlough for staff.

Actions Needed: House of Ruth, Inc. needs to submit a Modification Request (Cal EMA form 2-223) to modify the grant budget in order to be able to spend the entire 2009/10 grant amount. It was discussed at the site visit, House of Ruth, Inc. would seek approval for additional trainings through the modification process, which would use these excess funds. **Indicate in the corrective action letter how this will be resolved.**

Overall, the Programmatic Review appears to be satisfactory. However, there are two programmatic issues needing to be addressed:

1. House of Ruth, Inc. did not have the required Operational Agreement with the County's Social Services Department.

Actions Needed: House of Ruth, Inc. needs to obtain an Operational Agreement with the County's Social Services Department. **Indicate in the corrective action letter how this will be resolved.**

2. House of Ruth, Inc. CHAT Program has a letter from Pomona Unified School District dated July 2, 2009, which was meant to be an Operational Agreement. Since this letter is not signed by House of Ruth, Inc. and the letter does not have an end date, the letter is therefore not acceptable as an Operational Agreement.

Actions Needed: House of Ruth, Inc. needs to obtain a new acceptable Operational Agreement from a local school or school district. It is suggested, since all the Operational Agreement which were provided expire September 30, 2010, House of Ruth, Inc. should start obtaining all new Operational Agreements with start dates of October 1, 2010 and end dates of September 30, 2013. **Indicate in the corrective action letter how this will be resolved.**

Please review the enclosed Site Visit Report form; sign the cover page and mail it to me at your earliest convenience. Also complete a Corrective Action Letter with the requested actions and return to me by **August 6, 2010**. Should you have questions, please contact me at (916) 323-7730. Once again, thank you and your staff for warm hospitality and cooperation I received during the site visit.

Suzanne E. Aebischer

July 8, 2010

Page | 3

Sincerely,

RICHARD BUNCH
Program Specialist
Children's Section

Enclosures:

- Site Visit Report
- EEO Checklist
- Attachment 10A

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: CHILD ABUSE TREATMENT PROGRAM (CHAT)

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** AT09 06 1256 **DATE OF SITE VIST:** June 15 – 16, 2010
2. **GRANT PERIOD:** October 1, 2009 through September 30, 2010
3. **RECIPIENT/IMPLEMENTING AGENCY:** House of Ruth, Inc.
4. **PROJECT DIRECTOR:** Suzanne E. Aebischer

PERSONS INTERVIEWED DURING SITE VISIT:

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
<u>Michelle Roberts</u>	<u>Program Director</u>	<u>House of Ruth</u>
<u>Jean Leavy</u>	<u>Grants Administrator</u>	<u></u>
<u>Sharon McGrath-Gold</u>	<u>Chief Financial Officer</u>	<u></u>
<u>Gracie Gonzalez</u>	<u>Staff Accountant</u>	<u></u>
<u>Francine Maltz, LMFT</u>	<u>Director of Counseling</u>	<u></u>
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Richard Bunch
Signature of Program Specialist

07/08/2010
Date

Gillsa Miller
Signature of Section Chief

07/08/2010
Date

Signature of Project Representative

Date

7/28/2010

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW

YES NO N/A

1. OPERATIONAL DOCUMENTS

Review hard copy/verify the ability to access on line:

- The Cal EMA Recipient Handbook (R.H.)
- The Approved Grant Award Agreement
- The RFA/RFP (supersedes the requirement of the R.H.)
- The Program Guidelines (supersedes the requirement of the R.H.)
- Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars

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Comments: Project staff had all required operational documents listed above, including 2010 Cal EMA Recipient Handbook.

2. FIDELTY BOND - COMMUNITY BASED ORGANIZATION (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY

- Obtain copy of required CBO bonding? [R.H. Section 2161] Does not apply to state, city, or county units of government.
- Does the bond show:
 - Bonding company name
 - Bond number
 - Description of coverage
 - Amount of coverage (50% of allocation)
 - Bond period
 - Grant award number
 - Bond include Form A (Employee Dishonesty) and Form B (Forgery Coverage)?
 - Is Cal EMA named on the bond as the beneficiary?

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Comments: Project staff provided Certificate of Liability Insurance meeting all above requirements.

3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- Does the project have their CEQA documentation on file?

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Comments: Project provided CEQA Letter of Exemption issued by the City of Pomona and dated June 23, 2010.

4. PROOF OF AUTHORITY (R.H. Section 1350)

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? *Ask for copy

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Comments: Project staff provided Letter from Board of Directors authorizing acceptance of Cal EMA funds for the 2009/10 grant and authorizing Suzanne Aebischer to execute the Cal EMA Agreement.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW (Continued)

YES NO N/A

5. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions identified?

☒ ☐ ☐

Comments: Project staff provided an up-to-date organizational chart showing all CHAT Program budgeted personnel.

6. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification (Cal EMA 2-223). [R. H. Section 7500] (*Instruct the project staff on the procedure to obtain the most recent forms from Cal EMA website.*)

☒ ☐ ☐

A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments: Project personnel understood the purpose of Modification Requests and how to submit them.

7. PERSONNEL POLICIES

- Does the project staff have access to written personnel policies as required? [R. H. Section 2130]
- Do policies include:
 - Maintenance of personnel files for all paid and volunteer staff including job applications, salaries, benefits, and current job duties/descriptions
 - A current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152]
 - Work hours
 - Compensation rates
 - Overtime
- Did the Board approve the agency's current personnel policy?

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Comments: Project staff states all above requirements are being met. Project provided document which states the Board of Directors approved the personnel policies.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW (Continued)

YES NO N/A

8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [*R. H. Section 11331*] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure they are signed by the staff and supervisor) ☒ ☐ ☐

Comments: I viewed Functional Timesheets which were signed by staff and approved by a supervisor. Timesheets properly allocated time toward CHAT Program.

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
 - Name of individual who approves purchases.
Sharon McGrath-Gold, CFO
 - Name of individual who writes checks.
Gracie Gonzalez, Staff Accountant
 - Name of individual(s) who signs checks.
Suzanne Aebischer; over \$2,000 – two signatures – Sharon McGrath-Gold; over \$2,500 – two signatures to include a member of the Board of Directors.

10. SOURCE DOCUMENTATION-Fiscal [*R. H. Section 11000*]

- Does the project maintain a record-keeping system which will accurately support costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? ☒ ☐ ☐
- Does the project maintain an accurate inventory log of equipment purchased with grant funds? ☒ ☐ ☐

Comments: I viewed October and December 2009 General Ledgers and tracked several items back to the original receipts. I viewed the inventory log and listed equipment which had identifying information on them from the Inventory Log.

11. PROJECT EXPENDITURES

- Is the project's expenditure rate commensurate with the elapsed period of the grant? ☐ ☒ ☐
- Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement? ☒ ☐ ☐
- Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)? ☒ ☐ ☐
- Is the project up-to-date with the submission of Cal EMA 2-201? ☐ ☒ ☐

Comments: Project staff believes they will have approximately \$15,000 in excess funds by end of grant period. Staff will submit Modification Request for using excess funds.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW (Continued)

YES NO N/A

12. MATCH REQUIREMENTS

- Does the project have a match requirement? ☒ ☐ ☐
- Is the project meeting the match requirement? ☒ ☐ ☐
- Review the supporting documentation to substantiate cash or in-kind match. ☒ ☐ ☐

Comments: Match is in the form of space value and employee benefits and taxes on payroll. Project is meeting Match requirements.

13. EEO POLICY

- Go over EEO checklist. (Separate document) ☒ ☐ ☐

Comments: All EEO required items on EEO Checklist B were provided except item 9, a plan to disseminate the EEO Plan and the EEO Policy to all employees, volunteers, clients and to the general public.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

B. PROGRAMMATIC REVIEW

GENERAL

YES NO N/A

1. PROGRAM GOALS AND OBJECTIVES

- Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program goals and objectives? ☒ ☐ ☐
- Does the project staff need to submit Cal EMA Form 2-223 to modify their grant objectives? ☐ ☒ ☐

Comments: Project staff are meeting Objective Goals at a rate which would suggest meeting all projected goals by September 30, 2010.

2. PROGRESS REPORT

- Discuss and review the programmatic Progress Report requirements. ☒ ☐ ☐

Comments: Discussed Progress Reports. Project staff understands the function of Progress Reports and how the reports should be filled out and submitted.

3. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that will accurately support the project's reported data on the Progress Report form? ☒ ☐ ☐
- Review the project's file system and data collection process.

Comments: Project staff collects data and have a very good record keeping system.

4. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement? ☐ ☒ ☐

Comments: Project has all required OA's except for an OA with the County's Social Services Department. For the School OA requirement, project has a letter from Pomona Unified School District dated July 2, 2009 which does not have a begin or end date.

5. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement? ☒ ☐ ☐

Comments: Project staff understands and are performing their stated duties.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

C. SUPPLEMENTAL PROGRAMMATIC REVIEW

1. OBJECTIVE A – PROVIDE PSYCHOTHERAPY SERVICES

Does the project use licensed clinicians/therapists? If not, explain the credentials of the mental health staff. Discuss the type of therapy received by the child client (how often, group, individual, PCIT, trauma-focused, etc.).

YES NO N/A

☒ ☐ ☐

Comments: Modalities used - Cognitive Behavioral and PCIT. Very organized client files with great therapy notes.

2. OBJECTIVE B – ASSISTANCE IN PROVIDING INFORMATION ON CRIME COMPENSATION SERVICES

How does the project provide clients with information and referral to the local Victim Witness Assistance Center for victim compensation services?

☒ ☐ ☐

Comments: All clients are told about Victim Witness Assistance Center and are given a brochure.

3. OBJECTIVE C – ASSISTANCE IN UNDERSTANDING AND IN HELPING THE CHILD PREPARE FOR PARTICIPATING IN THE CRIMINAL JUSTICE SYSTEM

How does the project provide information and referral to the local Victim Witness Assistance Center for assistance, advocacy and support during judicial proceedings?

☒ ☐ ☐

Comments: Clients referred to Victim Witness Assistance Center and they are given brochures on the subject.

4. OBJECTIVE D – USE OF VOLUNTEERS

- Does the project use volunteers? ☒ ☐ ☐
- Have volunteers completed the required 40-hour training prior to child client contact? Review documentation. ☒ ☐ ☐
- Do volunteers complete a sign-in sheet with date, time, activities and signature by the project's project director or designated staff? Review documentation. ☒ ☐ ☐
- Have all employees and volunteers completed the required background checks? ☒ ☐ ☐
- If the project does not use volunteers, has the project received a volunteer waiver for the current grant award period? ☐ ☐ ☒

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

C. SUPPLEMENTAL PROGRAMMATIC REVIEW

YES NO N/A

5. DOES THE RECIPIENT HAVE ON FILE DOCUMENTATION SUPPORTING THE COMPLETION OF THE FOLLOWING (inform the following are required, but do not review)?

- Reference Checks
- Criminal Background Check (if staff/volunteers have resided in California for less than 3 years, out-of-state criminal history checks are also required)
- Child Abuse Central Index Checks
- Department of Motor Vehicle Checks (if transporting clients)

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6. DOES THE PROJECT DO PERFORMANCE EVALUATIONS?

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Comments: Evaluations done every 6 months for new employees and yearly thereafter.

7. CURRENT MANDATED OA's ON FILE

- Law Enforcement
- California Coalition for Youth (CCY)
- Victim Witness Assistance Center
- California Workforce Investment Board's State or Local Youth Council
- Local Hospitals
- Local Schools
- County Social Services Department

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Comments: Project has all required OA's except for an OA with the County's Social Services Department. For the School OA requirement, project has a letter from Pomona Unified School District dated July 2, 2009 which does not have a begin or end date.

8. CLIENT CONFIDENTIALITY

- Written policy regarding client confidentiality.
- Written policy regarding the maintenance of confidential client records.
- Client records are kept confidential per E.C. Section 1037.1.
- Client records are kept in a locked room or file cabinet.

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Comments: Project has written client confidentiality policy and written policy for maintenance of confidential client records. Client records are kept in a locked file cabinet in a locked room.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

D. ADDITIONAL COMMENTS:

ADMINISTRATIVE (document strengths, topics needing improvement, follow-up, etc.)

House of Ruth, Inc. appears to be a very professionally run organization. The administrative staff is very helpful and competent. The financial records are very organized, easy to track, and easily understood. I appreciated the warm welcome I received and the can-do attitude in finding or producing any information and/or documentation which I needed for the site visit.

The following are items needing to be addressed in the Administrative Review:

- House of Ruth, Inc. needs a plan to disseminate the EEO Plan and the EEO Policy to all employees, volunteers, clients and to the general public, as listed on the EEO CHECKLIST – B, item 9. Attachment 10A, a sample of such a plan was provided to House of Ruth, Inc. House of Ruth, Inc. will need to produce such a plan and have it ratified by the Board of Directors.
- House of Ruth, Inc. staff believes that approximately \$15,000.00 will be unspent at the end of the current 2009/10 grant period. Therefore, the staff needs to submit a Modification Request (Cal EMA form 2-223) to modify the grant budget in order to be able to spend the entire grant amount.

PROGRAMMATIC (document strengths, topics needing improvement, follow-up, etc.)

Programmatically, House of Ruth, Inc. appears to be run equally as professionally as on the administrative side. The client therapy files are exceptionally well organized with complete information. If a new therapist was to come in to take over therapy with a client, that therapist would easily be able to read the client's file, understand the issues of the client, know what the treatment plan and goals are, know what progress has been made, and continue therapy where the last therapist left off.

The following are items needing to be addressed in the Programmatic Review:

- Project is missing the required Operational Agreement with the County's Social Services Department. An Operational Agreement needs to be obtained to meet this requirement.
- Project has a letter from the Pomona Unified School District dated July 2, 2009, which was meant to be an Operational Agreement. The letter does not have an end date and therefore is not acceptable as an Operational Agreement. An Operational Agreement needs to be obtained for the next grant period to meet the requirement of having an Operational Agreement from a local school. Since all the Operational Agreements provided for my review will expire on September 30, 2010, the agency must obtain new Operational Agreements with start dates of October 1, 2010 through September 30, 2013.